



## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference <b>80021-86</b>	<b>FOR FURTHER ACTION</b> see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. <b>PCT/CA 98/01184</b>	International filing date (day/month/year) <b>18/12/1998</b>	(Earliest) Priority Date (day/month/year) <b>19/12/1997</b>
Applicant <b>THE UNIVERSITY OF BRITISH COLUMBIA et al.</b>		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 4 sheets.



It is also accompanied by a copy of each prior art document cited in this report.

**1. Basis of the report**

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.



the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :



contained in the international application in written form.



filed together with the international application in computer readable form.



furnished subsequently to this Authority in written form.



furnished subsequently to this Authority in computer readable form.



the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.



the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

4. With regard to the **title**,



the text is approved as submitted by the applicant.



the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,



the text is approved as submitted by the applicant.



the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the **drawings** to be published with the abstract is Figure No.



as suggested by the applicant.



because the applicant failed to suggest a figure.



because this figure better characterizes the invention.



None of the figures.

# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/CA 98/01184

## B x I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
2. ☒ Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:  
see FURTHER INFORMATION sheet PCT/ISA/210
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## B x II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

### Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

## INTERNATIONAL SEARCH REPORT

National Application No

PCT/CA 98/01184

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 6 C07K5/065 C07K5/062 A61K38/05 C07K5/02 C07K5/08

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 6 C07K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	WO 96 33211 A (UNIV BRITISH COLUMBIA ; UNIV ALBERTA (CA); APPLIEDENE LIMITED (GB)); 24 October 1996 (1996-10-24) cited in the application claim 1 ---	10, 11, 14, 18
Y	US 5 661 175 A (GRAVALOS DOLORES G ET AL) 26 August 1997 (1997-08-26) claim 1 ---	10, 11, 14, 18
A	EP 0 150 227 A (FUJIREBIO KK) 7 August 1985 (1985-08-07) ---	
A	US 4 048 305 A (MOLTENI LUIGI ET AL) 13 September 1977 (1977-09-13) -----	

☐

Further documents are listed in the continuation of box C.

☒

Patent family members are listed in annex.

## \* Special categories of cited documents :

"A" document defining the general state of the art which is not considered to be of particular relevance

"E" earlier document but published on or after the international filing date

"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"&amp;" document member of the same patent family

Date of the actual completion of the international search

4 August 1999

Date of mailing of the international search report

1 8. 08. 99

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Deffner, C-A

## FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

## Continuation of Box I.2

Claims Nos.: 1-7, 12, 13, 15-17, 19-21 (partially, only in as far as the claims depend on claims 10 and 14)

Present claims 1-9, 12, 13, 15-17 relate to an extremely large number of possible compounds. Support within the meaning of Article 6 PCT and disclosure within the meaning of Article 5 PCT is to be found, however, for only a very small proportion of the compounds claimed. In the present case, the claims so lack support, and the application so lacks disclosure, that a meaningful search over the whole of the claimed scope is impossible. Present claim 1 embraces virtually Di-, Tri- and Tetrapeptides without any constant feature to which a pharmaceutical activity can be attributed. Consequently, the search has been carried out for those parts of the claims which appear to be supported and disclosed, namely those parts relating to the compounds. Therefore only claims 10, 14, 18 and subject-matter in as far as it depends on these claims has been searched.

The applicant's attention is drawn to the fact that claims relating to inventions in respect of which no international search report has been established need not be the subject of an international preliminary examination (Rule 66.1(e) PCT). The applicant is advised that the EPO policy when acting as an International Preliminary Examining Authority is normally not to carry out a preliminary examination on matter which has not been searched. This is the case irrespective of whether or not the claims are amended following receipt of the search report or during any Chapter II procedure.

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/CA 98/01184

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
WO 9633211	A	24-10-1996	AU 5341696 A	07-11-1996
			CA 2220021 A	24-10-1996
			EP 0839154 A	06-05-1998
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US 5661175	A	26-08-1997	NONE	
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EP 0150227	A	07-08-1985	NONE	
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US 4048305	A	13-09-1977	IT 1049404 B	20-01-1981
			BE 860382 A	15-02-1978
			CA 1047485 A	30-01-1979
			DE 2615129 A	28-10-1976
			FR 2306709 A	05-11-1976
			GB 1525664 A	20-09-1978
			JP 1147558 C	26-05-1983
			JP 51136669 A	26-11-1976
			JP 57035866 B	31-07-1982
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# PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

To:  
**SMART & BIGGAR**  
 Attn. ROBINSON, J.  
 Box 11560, Vancouver Centre  
 650 W. Georgia St., Suite 2200  
 Vancouver, BC V6B 4N8  
 CANADA

**RECEIVED**  
**AUG 23 1999**  
 NOTIFICATION OF TRANSMITTAL OF  
 THE INTERNATIONAL SEARCH REPORT  
 OR THE DECLARATION

(PCT Rule 14.1)

Date of mailing  
 (day/month/year) **18/08/1999**

Applicant's or agent's file reference  
**80021-86**

**FOR FURTHER ACTION** See paragraphs 1 and 4 below

International application No.  
**PCT/CA 98/01184**

International filing date  
 (day/month/year) **18/12/1998**

Applicant

**THE UNIVERSITY OF BRITISH COLUMBIA et al.**

1. ☒ The applicant is hereby notified that the International Search Report has been established and is transmitted herewith.

**Filing of amendments and statement under Article 19:**

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46):

**When?** The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

**Where?** Directly to the International Bureau of WIPO  
 34, chemin des Colombettes  
 1211 Geneva 20, Switzerland  
 Facsimile No.: (41-22) 740.14.35

**For more detailed instructions, see the notes on the accompanying sheet.**

2. ☐ The applicant is hereby notified that no International Search Report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3. ☐ **With regard to the protest** against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. **Further action(s):** The applicant is reminded of the following:

Shortly after **18 months** from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

Within **19 months** from the priority date, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later).

Within **20 months** from the priority date, the applicant must perform the prescribed acts for entry into the national phase before all designated Offices which have not been elected in the demand or in a later election within 19 months from the priority date or could not be elected because they are not bound by Chapter II.

Name and mailing address of the International Searching Authority



European Patent Office, P.B. 5818 Patentlaan 2  
 NL-2280 HV Rijswijk  
 Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
 Fax. (+31-70) 340-3016

Authorized officer

**Heike Zoglauer**

## NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the PCT Applicant's Guide, a publication of WIPO.

In these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions, respectively.

### INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only.

#### What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

#### When?

Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

#### Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been/is filed, see below.

#### How?

Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

#### What documents must/may accompany the amendments?

##### Letter (Section 205(b)):

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

## NOTES TO FORM PCT/ISA/220 (c ntinued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

**The following examples illustrate the manner in which amendments must be explained in the accompanying letter:**

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:  
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:  
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:  
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or  
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:  
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

### **"Statement under article 19(1)" (Rule 46.4)**

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

**It must be in the language in which the international application is to be published.**

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

### **Consequence if a demand for international preliminary examination has already been filed**

If, at the time of filing any amendments and any accompanying statement, under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the time of filing the amendments (and any statement) with the International Bureau, also file with the International Preliminary Examining Authority a copy of such amendments (and of any statement) and, where required, a translation of such amendments for the procedure before that Authority (see Rules 55.3(a) and 62.2, first sentence). For further information, see the Notes to the demand form (PCT/PEA/401).

### **Consequence with regard to translation of the international application for entry into the national phase**

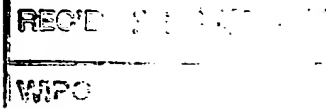
The applicant's attention is drawn to the fact that, upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see Volume II of the PCT Applicant's Guide.



## PATENT COOPERATION TREATY

## PCT



## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 80021-86	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/CA98/01184	International filing date (day/month/year) 18/12/1998	Priority date (day/month/year) 19/12/1997
International Patent Classification (IPC) or national classification and IPC C07K5/00		
Applicant THE UNIVERSITY OF BRITISH COLUMBIA et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 5 sheets, including this cover sheet.

- ☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☒ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☒ Certain observations on the international application

Date of submission of the demand  12/07/1999	Date of completion of this report  27.03.2000
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized officer  Deffner, C-A  Telephone No. +49 89 2399 8535 

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/CA98/01184

## I. Basis of this report

1. This report has been drawn on the basis of (*substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments.*):

### Description, pages:

1-30 as originally filed

### Claims, No.:

1-21 as originally filed

### Drawings, sheets:

1/7-7/7 as originally filed

2. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

3. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

4. Additional observations, if necessary:

## III. Non-establishment of opinion with regard to novelty, inventive step and industrial applicability

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious), or to be industrially applicable have not been examined in respect of:

- ☐ the entire international application.
- ☒ claims Nos. 1-9,12,13,15-17,19-21 (partially).

because:

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/CA98/01184

- ☐ the said international application, or the said claims Nos. relate to the following subject matter which does not require an international preliminary examination (*specify*):
- ☐ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. are so unclear that no meaningful opinion could be formed (*specify*):
- ☐ the claims, or said claims Nos. are so inadequately supported by the description that no meaningful opinion could be formed.
- ☒ no international search report has been established for the said claims Nos. 1-9,12,13,15-17,19-21 (partially).

## V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

### 1. Statement

Novelty (N)	Yes:	Claims	10,11,14,18
	No:	Claims	
Inventive step (IS)	Yes:	Claims	
	No:	Claims	10,11,14,18
Industrial applicability (IA)	Yes:	Claims	10,11,14,18
	No:	Claims	

### 2. Citations and explanations

see separate sheet

## VIII. Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

see separate sheet

- 1). No search report has been issued for subject- matter of claims 1-9, 12- 13 and 15- 17 which has been searched only in as far as these claims depend on claims 10, 11, 14 and 18. Same comment applies on claims 19- 21. Therefore no Preliminary Examination can be carried out for these claims and the International Preliminary Examination is performed only for the subject- matter searched.
- 2). Following documents represent the relevant state of the art for the subject- matter searched:  
  
    (D1) WO-A-9633211  
    (D2) US-A-5661175  
    (D3) US-A-4048305  
    (D4) EP-A-150227
- 3). With respect to the cited prior art present subject- matter searched appears to be novel (Article 33(2) PCT).
- 4). Taking (D1) as the closest prior art the problem to be solved by the present application can be defined as the provision of further hemiasterlin analogs. It appears with regard to the decreasing activity on present pages 29 and 30 that not all compounds falling within the scope of the subject- matter searched especially compounds lacking an isobutyl- side chain or the C- terminal part of hemiasterlin would solve the problem above. Therefore present claims 10, 14 and 18 appear not to involve an inventive step over it's whole scope (Article 33(3) PCT).  
    Apart from this comment it appears that the replacement of an side chain containing indoyl by another cyclic, aromatic moiety would be considered as to be suggested as for example the Tyr/Trp/Phe replacement is considered as to be a conservative amino acid substitution for the skilled person and, therefore, suggested. Therefore it appears that the searched subject- matter does not involve an inventive step because the skilled person would have expected that with regard to the proposed indoyl replacements present compounds exhibit similar activities when compared to hemiasterlin (Article 33(3) PCT).
- 5). The vague and imprecise statement in the description on page 30, lines 29 to 37,

concerning the spirit of the invention implies that the subject-matter for which protection is sought may be different to that defined by the claims, thereby resulting in lack of clarity (Article 6 PCT) when used to interpret them (see also the PCT Guidelines, PCT/GL/3 III, 4.3a).

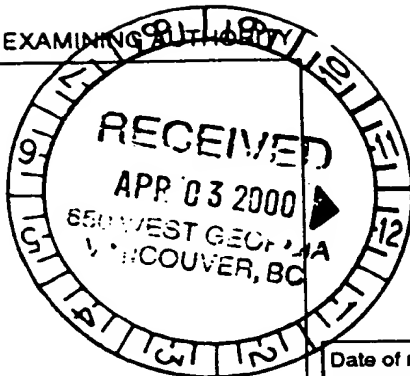
From the

INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

PCT

To:

ROBINSON, J. Christopher  
SMART & BIGGAR  
Vancouver Centre, Suite 2200  
650 W. Georgia Street  
P.O. Box 11560  
Vancouver, BC V6B 4N8  
CANADA



NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT

(PCT Rule 71.1)

Date of mailing  
(day/month/year)

27.03.2000

Applicant's or agent's file reference  
80021-86 ✓

**IMPORTANT NOTIFICATION**

International application No.  
PCT/CA98/01184

International filing date (day/month/year)  
18/12/1998

Priority date (day/month/year)  
19/12/1997

Applicant

THE UNIVERSITY OF BRITISH COLUMBIA et al.

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

**4. REMINDER**

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

*RF*

*My*

Name and mailing address of the IPEA/



European Patent Office  
D-80298 Munich  
Tel. +49 89 2399 - 0 Tx: 523656 epmu d  
Fax: +49 89 2399 - 4465

Authorized officer

DA ROCHA, O.

Tel. +49 89 2399-8101



# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>80021-86</b>	<b>FOR FURTHER ACTION</b>		See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)
International application No. <b>PCT/CA98/01184</b>	International filing date (day/month/year) <b>18/12/1998</b>	Priority date (day/month/year) <b>19/12/1997</b>	
International Patent Classification (IPC) or national classification and IPC <b>C07K5/00</b>			
Applicant <b>THE UNIVERSITY OF BRITISH COLUMBIA et al.</b>			

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 5 sheets, including this cover sheet.

☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

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3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☒ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☒ Certain observations on the international application

Date of submission of the demand <b>12/07/1999</b>	Date of completion of this report <b>27.03.2000</b>
Name and mailing address of the international preliminary examining authority:  <b>European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465</b>	Authorized officer <b>Deffner, C-A</b> Telephone No. +49 89 2399 8535 

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/CA98/01184

**I. Basis of the report**

1. This report has been drawn on the basis of (*substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments.*):

**Description, pages:**

1-30 as originally filed

**Claims, No.:**

1-21 as originally filed

**Drawings, sheets:**

1/7-7/7 as originally filed

2. The amendments have resulted in the cancellation of:

- ☐ the description, pages:  
☐ the claims, Nos.:  
☐ the drawings, sheets:

3. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

4. Additional observations, if necessary:

**III. Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious), or to be industrially applicable have not been examined in respect of:

- ☐ the entire international application.  
☒ claims Nos. 1-9,12,13,15-17,19-21 (partially).

because:



**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/CA98/01184

- ☐ the said international application, or the said claims Nos. relate to the following subject matter which does not require an international preliminary examination (*specify*):
- ☐ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. are so unclear that no meaningful opinion could be formed (*specify*):
- ☐ the claims, or said claims Nos. are so inadequately supported by the description that no meaningful opinion could be formed.
- ☒ no international search report has been established for the said claims Nos. 1-9,12,13,15-17,19-21 (partially).

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes: Claims 10,11,14,18
	No: Claims
Inventive step (IS)	Yes: Claims
	No: Claims 10,11,14,18
Industrial applicability (IA)	Yes: Claims 10,11,14,18
	No: Claims

**2. Citations and explanations**

**see separate sheet**

**VIII. Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

**see separate sheet**

- 1). No search report has been issued for subject- matter of claims 1-9, 12- 13 and 15- 17 which has been searched only in as far as these claims depend on claims 10, 11, 14 and 18. Same comment applies on claims 19- 21. Therefore no Preliminary Examination can be carried out for these claims and the International Preliminary Examination is performed only for the subject- matter searched.
- 2). Following documents represent the relevant state of the art for the subject- matter searched:
  - (D1) WO-A-9633211
  - (D2) US-A-5661175
  - (D3) US-A-4048305
  - (D4) EP-A-150227
- 3). With respect to the cited prior art present subject- matter searched appears to be novel (Article 33(2) PCT).
- 4). Taking (D1) as the closest prior art the problem to be solved by the present application can be defined as the provision of further hemiasterlin analogs. It appears with regard to the decreasing activity on present pages 29 and 30 that not all compounds falling within the scope of the subject- matter searched especially compounds lacking an isobutyl- side chain or the C- terminal part of hemiasterlin would solve the problem above. Therefore present claims 10, 14 and 18 appear not to involve an inventive step over it's whole scope (Article 33(3) PCT).

Apart from this comment it appears that the replacement of an side chain containing indoyl by another cyclic, aromatic moiety would be considered as to be suggested as for example the Tyr/Trp/Phe replacement is considered as to be a conservative amino acid substitution for the skilled person and, therefore, suggested. Therefore it appears that the searched subject- matter does not involve an inventive step because the skilled person would have expected that with regard to the proposed indoyl replacements present compounds exhibit similar activities when compared to hemiasterlin (Article 33(3) PCT).
- 5). The vague and imprecise statement in the description on page 30, lines 29 to 37,

concerning the spirit of the invention implies that the subject-matter for which protection is sought may be different to that defined by the claims, thereby resulting in lack of clarity (Article 6 PCT) when used to interpret them (see also the PCT Guidelines, PCT/GL/3 III, 4.3a).

# PATENT COOPERATION TREATY RECEIVED

PCT

SEP 22 1999  
650 WEST GEORGIA  
VANCOUVER, BC

INFORMATION CONCERNING ELECTED  
OFFICES NOTIFIED OF THEIR ELECTION

(PCT Rule 61.3)

ROBINSON, J., Christopher  
Smart & Biggar  
Suite 2200  
650 West Georgia Street  
Box 11560  
Vancouver, British Columbia V6N 4N8  
CANADA

<b>Date of mailing (day/month/year)</b> 07 September 1999 (07.09.99)		<b>Applicant's or agent's file reference</b> 80021-86		<b>IMPORTANT INFORMATION</b>	
<b>International application No.</b> PCT/CA98/01184		<b>International filing date (day/month/year)</b> 18 December 1998 (18.12.98)		<b>Priority date (day/month/year)</b> 19 December 1997 (19.12.97)	
<b>Applicant</b> THE UNIVERSITY OF BRITISH COLUMBIA et al					

1. The applicant is hereby informed that the International Bureau has, according to Article 31(7), notified each of the following Offices of its election:

AP : GH, GM, KE, LS, MW, SD, SZ, UG, ZW

EP : AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE

National : AU, BG, BR, CA, CN, CZ, DE, GB, IL, JP, KP, KR, MN, NO, NZ, PL, RO, RU, SE, SK, US

2. The following Offices have waived the requirement for the notification of their election; the notification will be sent to them by the International Bureau only upon their request:

EA : AM, AZ, BY, KG, KZ, MD, RU, TJ, TM

OA : BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG

National : AL, AM, AT, AZ, BA, BB, BY, CH, CU, DK, EE, ES, FI, GE, GH, GM, HR, HU, ID, IN, IS,  
 KE, KG, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MW, MX, PT, SD, SG, SI, SL, TJ, TM, TR, TT,  
 UA, UG, UZ, VN, YU, ZW

3. The applicant is reminded that he must enter the "national phase" before the expiration of 30 months from the priority date before each of the Offices listed above. This must be done by paying the national fee(s) and furnishing, if prescribed, a translation of the international application (Article 39(1)(a)), as well as, where applicable, by furnishing a translation of any annexes of the international preliminary examination report (Article 36(3)(b) and Rule 74.1).

Some offices have fixed time limits expiring later than the above-mentioned time limit. For detailed information about the applicable time limits and the acts to be performed upon entry into the national phase before a particular Office, see Volume II of the PCT Applicant's Guide.

The entry into the European regional phase is postponed until 31 months from the priority date for all States designated for the purposes of obtaining a European patent.

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland  Facsimile No. (41-22) 740.14.35	<b>Authorized officer:</b>  Lazar Joseph Benokai  Telephone No. (41-22) 338.83.38
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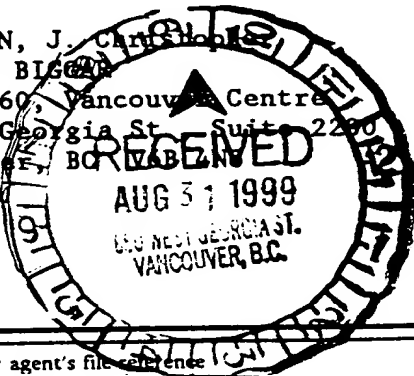
# PATENT COOPERATION TREATY

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

## PCT

To:

ROBINSON, J. Carr  
SMART & BIGGAR  
Box 11560, Vancouver Centre  
650 W. Georgia St. Suite 2200  
Vancouver, BC  
CANADA



### NOTIFICATION OF RECEIPT OF DEMAND BY COMPETENT INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

(PCT Rules 59.3(e) and 61.1(b), first sentence  
and Administrative Instructions, Section 601(a))

Date of mailing  
(day/month/year)

27. 08. 99

Applicant's or agent's file reference  
80021-86

#### IMPORTANT NOTIFICATION

International application No.

PCT/CA 98/ 01184

International filing date (day/month/year)

18/12/1998

Priority date (day/month/year)

19/12/1997

Applicant

THE UNIVERSITY OF BRITISH COLUMBIA et al.

1. The applicant is hereby notified that this International Preliminary Examining Authority considers the following date as the date of receipt of the demand for international preliminary examination of the international application:

12/07/1999

2. This date of receipt is:

- ☒ the actual date of receipt of the demand by this Authority (Rule 61.1(b)).
- ☐ the actual date of receipt of the demand on behalf of this Authority (Rule 59.3(e)).
- ☐ the date on which this Authority has, in response to the invitation to correct defects in the demand (Form PCT/IPEA/404), received the required corrections.

3. ☐ **ATTENTION:** That date of receipt is **AFTER** the expiration of 19 months from the priority date. Consequently, the election(s) made in the demand does (do) not have the effect of postponing the entry into the national phase until 30 months from the priority date (or later in some Offices) (Article 39(1)). Therefore, the acts for entry into the national phase must be performed within 20 months from the priority date (or later in some Offices) (Article 22). For details, see the *PCT Applicant's Guide, Volume II*.

- ☐ (If applicable) This notification confirms the information given by telephone, facsimile transmission or in person on:

4. Only where paragraph 3 applies, a copy of this notification has been sent to the International Bureau.

Name and mailing address of the IPEA/



European Patent Office  
D-80298 Munich  
Tel. (+ 49-89) 2399-0, Tx: 523656 epmu d  
Fax: (+ 49-89) 2399-4465

Authorized officer

*N. Werner*

Telephone No.

Nadine Werner

# PATENT COOPERATION TREATY

WO 99/32509  
PCT/CA98/01184

PCT

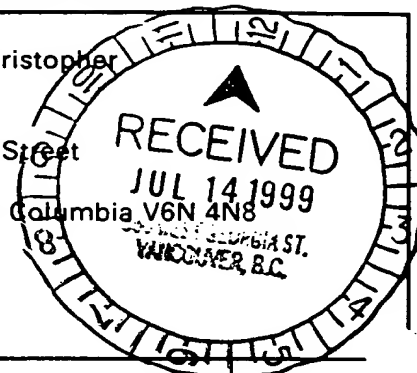
## NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION TO THE DESIGNATED OFFICES

(PCT Rule 47.1(c), first sentence)

From the INTERNATIONAL BUREAU

To:

ROBINSON, J., Christopher  
Smart & Biggar  
Suite 2200  
650 West Georgia Street  
Box 11560  
Vancouver, British Columbia V6N 4N8  
CANADA



Date of mailing (day/month/year) 01 July 1999 (01.07.99)		
Applicant's or agent's file reference 80021-86		IMPORTANT NOTICE
International application No. PCT/CA98/01184	International filing date (day/month/year) 18 December 1998 (18.12.98)	
Priority date (day/month/year) 19 December 1997 (19.12.97)		
Applicant THE UNIVERSITY OF BRITISH COLUMBIA et al		

- Notice is hereby given that the International Bureau has communicated, as provided in Article 20, the international application to the following designated Offices on the date indicated above as the date of mailing of this Notice:  
AU,CN,EP,IL,JP,KP,KR,US

In accordance with Rule 47.1(c), third sentence, those Offices will accept the present Notice as conclusive evidence that the communication of the international application has duly taken place on the date of mailing indicated above and no copy of the international application is required to be furnished by the applicant to the designated Office(s).

- The following designated Offices have waived the requirement for such a communication at this time:  
AL,AM,AP,AT,AZ,BA,BB,BG,BR,BY,CA,CH,CU,CZ,DE,DK,EA,EE,ES,FI,GB,GE,GH,GM,HR,HU,ID,IN,IS,KE,KG,KZ,LC,LK,LR,LS,LT,LU,LV,MD,MG,MK,MN,MW,MX,NO,NZ,OA,PL,PT,RO,RU,SD,SE,SG,SI,SK,SL,TJ,TM,TR,TT,UA,UG,UZ,VN,YU,ZW  
The communication will be made to those Offices only upon their request. Furthermore, those Offices do not require the applicant to furnish a copy of the international application (Rule 49.1(a-bis)).
- Enclosed with this Notice is a copy of the international application as published by the International Bureau on 01 July 1999 (01.07.99) under No. WO 99/32509

### REMINDER REGARDING CHAPTER II (Article 31(2)(a) and Rule 54.2)

If the applicant wishes to postpone entry into the national phase until 30 months (or later in some Offices) from the priority date, a demand for international preliminary examination must be filed with the competent International Preliminary Examining Authority before the expiration of 19 months from the priority date.

It is the applicant's sole responsibility to monitor the 19-month time limit.

Note that only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination.

### REMINDER REGARDING ENTRY INTO THE NATIONAL PHASE (Article 22 or 39(1))

If the applicant wishes to proceed with the international application in the national phase, he must, within 20 months or 30 months, or later in some Offices, perform the acts referred to therein before each designated or elected Office.

For further important information on the time limits and acts to be performed for entering the national phase, see the Annex to Form PCT/IB/301 (Notification of Receipt of Record Copy) and Volume II of the PCT Applicant's Guide.

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland	Authorized officer J. Zahra
Facsimile No. (41-22) 740.14.35	Telephone No. (41-22) 338.83.38

COMMISSIONAR OF PATENTS AND TRADEMARKS  
BOX PCT  
DOCUMENT MANAGEMENT BRANCH  
WASHINGTON D.C. 20231  
USA

DISPATCHED ON:

*12.08.99*

DOCUMENTS TRANSMITTED (ANNEX)

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TYPE OF DOCUMENT      INT. APPLICATION NO.      OTHER INFORMATION

PCT/ISA/210

[REDACTED]  
PCT/CA98/01184  
PCT/US99/04295  
PCT/US99/07023

[REDACTED]  
THE UNIVERSITY OF BRITISH COLUMBIA et al.  
G.D. SEARLE & CO. et al  
PHARMACIA & UPJOHN COMPANY et al.